



Docket No. 740819-1028

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of: )  
Hiroshi Yuasa ) Examiner: A. Mai  
Serial No. 10/695,804 )  
Filed: October 30, 2003 ) Group Art Unit: 2811  
For: SEMICONDUCTOR DEVICE AND )  
METHOD FOR FABRICATING THE SAME ) Confirmation No.: 6877

**PRELIMINARY AMENDMENT**

Commissioner for Patents  
P.O. Box 1540  
Alexandria, Virginia 22313-1450

Sir:

Please preliminarily amend the subject application as follows:



## **TRANSMITTAL FORM**

*(to be used for all correspondence after initial filing)*

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		<b>Application Number</b>	10/695,804
		<b>Filing Date</b>	October 30, 2003
		<b>First Named Inventor</b>	Hiroshi YUASA
		<b>Group Art Unit</b>	2811
		<b>Examiner Name</b>	A. Mai
Total Number of Pages in This Submission		Attorney Docket Number	740816-1028

**ENCLOSURES** (*check all that apply*)

- |   |  |   |
|---|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><br><input checked="" type="checkbox"/> Preliminary Amendment<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Response to Missing Parts/<br>Incomplete Application<br><br><input type="checkbox"/> Response to Missing Parts | <input type="checkbox"/> Assignment Papers<br><i>(for an Application)</i><br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Declaration and Power of Attorney<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group<br><i>(Appeal Notice, Brief, Reply Brief)</i><br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input type="checkbox"/> Application Data Sheet<br><input type="checkbox"/> Request for Corrected Filing Receipt with Enclosures<br><input type="checkbox"/> A self-addressed prepaid postcard for acknowledging receipt<br><input type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i> |
|---|--|---|

## Remarks

- The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 19-2380 for the above identified docket number.

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	<b>Donald R. Studebaker, Reg. No. 32,815</b> Nixon Peabody LLP 401 9 <sup>th</sup> Street, N.W. Suite 900 Washington, D.C. 20004-2128
Signature	
Date	April 20, 2004

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]

I hereby certify that this correspondence is being:

- deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop \_\_\_\_\_, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450
  - transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) 872-9306.

Date

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**Signature**

Typed or printed name



# FEES TRANSMITTAL FOR FY 2004

*Patent fees are subject to annual revision.*

**TOTAL AMOUNT OF PAYMENT** (\$ 18.00)

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **19-2380**

Deposit Account Name **Nixon Peabody LLP**

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

- Check  Credit Card  Money Order  Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1001	2001	385 Utility filing fee	
1002	2002	170 Design filing fee	
1003	2003	265 Plant filing fee	
1004	2004	385 Reissue filing fee	
1005	2005	80 Provisional filing fee	

**SUBTOTAL (1) (\$ 306.00)**

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
21	-20** =	1 X 18.00	= 18.00
Independent Claims 3	-3** =	X   =	
Multiple Dependent		=	

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103	18	203 9 Claims in excess of 20
102	86	202 43 Independent claims in excess of 3
104	290	204 145 Multiple dependent claim, if not paid
109	86	209 43 ** Reissue independent claims over original patent
110	18	210 9 ** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$ 18.00)**

\*\* or number previously paid, if greater; For Reissues, see above

Complete if Known

Application Number	10/695,804
Filing Date	October 30, 2003
First Named Inventor	Hiroshi YUASA
Examiner Name	A. Mai
Group Art Unit	2811
Attorney Docket No.	740819-1028

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	
139	130	139	130 Non-English transaction	
147	2,520	147	2,520 For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	
115	110	215	55 Extension for reply within first month	
116	420	216	210 Extension for reply within second month	
117	950	217	475 Extension for reply within third month	
118	1,480	218	740 Extension for reply within fourth month	
128	2,010	228	1,005 Extension for reply within fifth month	
119	330	219	165 Notice of Appeal	
120	330	220	165 Filing a brief in support of an appeal	
121	290	221	145 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,330	241	665 Petition to revive - unintentional	
142	1,330	242	665 Utility issue fee (or reissue)	
143	480	243	240 Design issue fee	
144	640	244	320 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Processing fee under 37 CR 1.17(q)	
126	180	126	180 Submission of Information Disclosure Stmt	
581	40	581	40 Recording each patent assignment per property (times number of properties)	
146	770	246	385 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	770	249	385 For each additional invention to be examined (37 CFR § 1.29(b))	
179	770	279	385 Request for Continued Examination (RCE)	
169	900	169	900 Request for expedited examination of a design application	
Other fee (specify) _____				

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$ )**

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, DC 20231, on

Name: \_\_\_\_\_

Complete if applicable

Name (Print/Type)	Donald R. Studebaker	Registration No. (Attorney/Agent)	32,815	Telephone	(202) 585-8234
Signature				Date	April 20, 2004